

# DECLARATION AND PETITION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled METHOD FOR LITHOGRAPHIC PROCESSING ON MOLECULAR MONOLAYER AND MULTILAYER THIN FILMS

the specification of which

(check one) XX is attached hereto XX was filed on December 11, 2001  
as Application Serial No. 10/015,063 and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application of which priority is claimed.

## Prior Foreign Application(s)

## Priority Claimed

Number	(Country)	(Day, month, year filed)	yes	no
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I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)	Filing Date	(Status - Patented, pending, abandoned)
(Application Serial No.)	Filing Date	(Status - Patented, pending, abandoned)

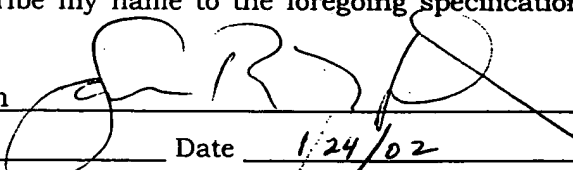
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Please send all correspondence to:

**David J. Oldenkamp, Esq.**  
SHAPIRO, BORENSTEIN & DUPONT LLP  
233 Wilshire Boulevard, Suite 700  
Santa Monica, California 90401

Wherefore I pray that Letters Patent be granted to me for the invention or discovery described and claimed in the foregoing specification and claims, and I hereby subscribe my name to the foregoing specification and claims, declaration, power of attorney, and this petition.

Full name of sole or first inventor James R. Heath

Inventor's signature 

Date 1/24/02

Residence 2329 PIER AVENUE, SANTA MONICA, CALIFORNIA 90405

Citizenship US

Post Office Address 405 HILGARD AVENUE, LOS ANGELES, CALIFORNIA 90095

Full name of second inventor Charles P. Collier

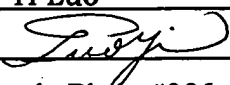
Inventor's signature Charles P. Collier Date 1/18/02

Residence 1955 ROSE AVENUE, SAN MARINO, CALIFORNIA 91108

Citizenship US

Post Office Address 1200 E. CALIFORNIA BOULEVARD, PASADENA, CALIFORNIA 91125

Full name of third inventor Yi Luo

Inventor's signature  Date 1/24/02

Residence 3251 S. Sepulveda Blvd., #306, Los Angeles, CALIFORNIA 90034

Citizenship Chinese

Post Office Address 405 HILGARD AVENUE, LOS ANGELES, CALIFORNIA 90095

Full name of fourth inventor Erica DeIonno

Inventor's signature  Date 1/24/02

Residence 628 Midvale Ave., Los Angeles, CALIFORNIA 90024

Citizenship US

Post Office Address 405 HILGARD AVENUE, LOS ANGELES, CALIFORNIA 90095

Full name of fifth inventor Patricia A. Beck

Inventor's signature Patricia A. Beck Date Jan 25, 2002

Residence 1501 PAGE MILL Rd , PALO ALTO , CA 94304

Citizenship US

Post Office Address SAME AS RESIDENCE



MAY 01, 2002

PTAS

Commissioner for Trademarks  
Arlington, VA 22202-3513  
www.uspto.gov

SHAPIRO, BORENSTEIN & DUPONT LLP  
DAVID J. OLDENKAMP, ESQ.  
233 WILSHIRE BOULEVARD, SUITE 700  
SANTA MONICA, C.A. 90401



\*102009740A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
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RECORDATION DATE: 02/22/2002

REEL/FRAME: 012642/0176  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
HEATH, JAMES J.

DOC DATE: 01/23/2002

ASSIGNOR:  
LUO, YI

DOC DATE: 01/24/2002

ASSIGNOR:  
DEIONNO, ERICA

DOC DATE: 01/23/2002

ASSIGNEE:  
REGENTS OF THE UNIVERSITY OF  
CALIFORNIA, THE  
1111 FRANKLIN STREET, FIFTH FLOOR  
OAKLAND, CALIFORNIA 94607

SERIAL NUMBER: 10015063  
PATENT NUMBER:

FILING DATE: 12/11/2001  
ISSUE DATE:

012642/0176 PAGE 2

MARCUS KIRK, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

03-11-2002

Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

Tab settings ⇄⇄⇄



102009740

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

James J. Heath

Yi Luo

Erica deIonno

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

MKB 2/22/2

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

Execution Date: January 23 and 24, 2002

## 2. Name and address of receiving party(ies)

Name: The Regents of the University of California

Internal Address:

Street Address: 1111 Franklin Street, Fifth Floor

City: Oakland State: CA Zip: 94607

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

10/015,063

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David J. Oldenkamp, Esq.

Internal Address: Shapiro, Borenstein &amp; Dupont LLP

Street Address: 233 Wilshire Boulevard, Suite 700

City: Santa Monica State: CA Zip: 90401

## 6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40.00

☒ Enclosed☐ Authorized to be charged to deposit account

## 8. Deposit Account Number:

50-1811

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

David J. Oldenkamp, Reg. 29,421

Name of person signing

February 6, 2002

Date

Total number of pages including cover sheet, attachments, and documents: 3

03/11/2002 LMJELLER 00000070 10015063

01 FC:581

40.00 DP

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231



## ASSIGNMENT

Attorney Docket No. **0180.0001**

U.C. Case No. 2001-218-1

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. James R. Heath
2. Yi Luo
3. Erica DeItonno

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California corporation, having its statewide administrative offices located at 1111 Franklin Street, Fifth Floor, Oakland, California 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

### **METHOD FOR LITHOGRAPHIC PROCESSING ON MOLECULAR MONOLAYER AND MULTILAYER THIN FILMS**

and which is found in

- (a) ☐ U.S. provisional application no. \_\_\_\_\_ filed on \_\_\_\_\_ and listing the above named persons as inventors
- (b) ☐ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) ☒ U.S. application serial no. 10/015,063, filed on December 11, 2001
- (d) ☐ U.S. Patent No. \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

Attorney Docket No. 0180.0001

U.C. Case No. 2000-218-1

AND, the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

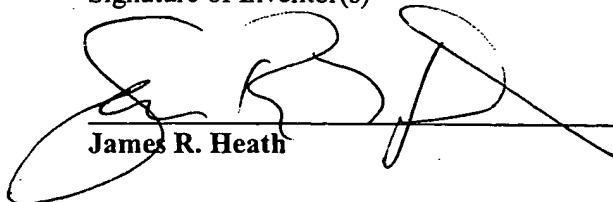
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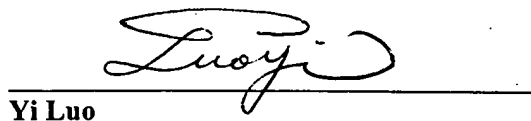
23<sup>rd</sup> day of January, 2002

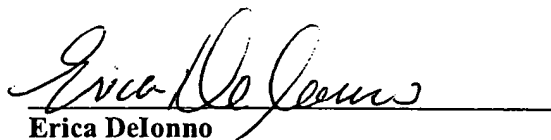
24<sup>th</sup> day of January, 2002

23<sup>rd</sup> day of January, 2002

Signature of Inventor(s)

  
James R. Heath

  
Yi Luo

  
Erica Delonno



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231



\*700070997A\*

MARCH 12, 2004

PTAS

SHAPIRO & DUPONT LLP  
DAVID J. OLDENKAMP, ESQ.  
233 WILSHIRE BOULEVARD, SUITE 700  
SANTA MONICA, CA 90401

UNITED STATES PATENT AND TRADEMARK OFFICE  
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RECORDATION DATE: 03/09/2004

REEL/FRAME: 014410/0871  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

## ASSIGNOR:

REGENTS OF THE UNIVERSITY OF  
CALIFORNIA, THE

DOC DATE: 10/21/2003

## ASSIGNEE:

CALIFORNIA INSTITUTE OF TECHNOLOGY  
1200 EAST CALIFORNIA BOULEVARD  
PASADENA, CALIFORNIA 91125

SERIAL NUMBER: 10015063  
PATENT NUMBER:

FILING DATE: 12/11/2001  
ISSUE DATE:

SERIAL NUMBER: 10473784  
PATENT NUMBER:

FILING DATE: 02/19/2004  
ISSUE DATE:

014410/0871 PAGE 2

MARGARET LASALLE, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

03/09/2004

700070997

FROM: OLDENKAMP

FRX NO. : 787-7420352

Mar. 09 2004 03:24PM P2

Form PTO-1396 (Rev. 10/02) OMB No. 0551-0027 (exp. 6/30/2005) Tab settings: 10 10 10		RECORDATION FORM COVER SHEET PATENTS ONLY		U.S. DEPARTMENT OF COMMERCE U.S. Patent and Trademark Office	
To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.					
1. Name of conveying party(ies):  The Regents of the University of California		2. Name and address of receiving party(ies) Name: <u>California Institute of Technology</u> Internal Address: _____ _____ _____ Street Address: <u>1200 East California Boulevard</u> _____ City: <u>Pasadena</u> State: <u>CA</u> Zip: <u>91125</u> Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____		Execution Date: <u>October 21, 2003</u>			
4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: _____ A. Patent Application No.(s) <u>10/015,063</u> <u>10/473,784</u> Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		B. Patent No.(s) _____ _____			
5. Name and address of party to whom correspondence concerning document should be mailed: Name: <u>David J. Oldenkamp, Esq.</u> Internal Address: <u>Shapiro &amp; Dupont LLP</u> _____ Street Address: <u>233 Wilshire Boulevard, Suite 700</u> City: <u>Santa Monica</u> State: <u>CA</u> Zip: <u>90401</u> Phone: <u>310-319-5411</u> Fax: <u>310-319-5401</u>		6. Total number of applications and patents involved: <u>2</u> 7. Total fee (37 CFR 3.41) \$ <u>80.00</u> <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account 8. Deposit Account Number: <u>50-1811</u> (Attach duplicate copy of this page if paying by deposit account)			
DO NOT USE THIS SPACE					
9. Statement and signature. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. <u>David J. Oldenkamp, Reg. 29,421</u> <u>David J. Oldenkamp</u> <u>March 9, 2004</u> Name of person signing Signature Date Total number of pages including cover sheet, attachments, and documents: <u>3</u>					

Mail documents to be recorded with required cover sheet information to:  
Mail Stop Assignments, Commissioner for Patents  
P.O. Box 1450, Alexandria, VA 22313-1450

2004 MAR 09 13:05 FAX 310 319 5401

**ASSIGNMENT OF PATENT RIGHTS**  
**UC Case Nos. 1997-593; 2001-218; 2001-379**

In accordance with this agreement, The Regents of the University of California ("The Regents"), a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12<sup>th</sup> Floor, Oakland, CA 94607-5200 acting through the offices of The University of California, Los Angeles, located at 10920 Wilshire Boulevard, Suite 1200, Los Angeles, CA 90024-1406 agrees to assign its rights, title and interest in the above-referenced inventions, and the patents and applications based thereon ("Regents' Patent Rights") to the California Institute of Technology ("Caltech"), located at 1200 East California Blvd., Pasadena, CA 91125.

The patents and applications that correspond to the rights transferred by this Assignment are:

**UC 1997-593** – U.S. Patent No.: 6,159,620, issued December 12, 2000, entitled "Single-Electron Solid State Electronic Device."

Inventors: James R. Heath; Daniel V. Leff; Gil Markovich

**UC 2001-218** – Pending U.S. Patent Application No. 10/015,063, filed December 11, 2001, with corresponding PCT Application No., PCT/US02/39792, filed December 11, 2002, entitled "Method for Lithographic Processing on Molecular Monolayer and Multilayer Thin Films."

Inventors: James R. Heath; Charles P. Collier; Yi Luo; Erica Delonno; Patricia A. Beck

**UC 2001-379** – Pending PCT Application No. PCT/US02/10673, filed April 4, 2002, claiming priority of U.S. Provisional Patent Application No. 60/282,005, filed April 6, 2001, entitled "Silicon-Wafer Based Devices and Methods for Analyzing Biological Material."

Inventors: James R. Heath, Rigo Pantoja, Francisco Bezanilla and Daniel Sigg

This transfer is conditioned on the following terms:

1. **Licensing** Caltech will diligently seek to license Regents' Patent Rights, and will administer the License Agreement for the mutual benefit of the parties to this Agreement and in the public interest. Caltech will seek to have a licensee reimburse The Regents for costs of patent prosecution and maintenance and related costs incurred prior to assignment. Once a licensee is located, Caltech shall share 50% of revenue from the licensing of Regents Patent Rights with the Regents, payable quarterly.
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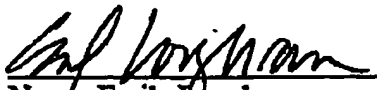
(a) Each occurrence

\$5,000,000.

- |  |              |
|--|--------------|
| (b) Products/completed operations aggregate  | \$5,000,000. |
| (c) Personal and advertising injury          | \$5,000,000. |
| (d) General aggregate (commercial form only) | \$5,000,000. |

3. Reservation of Rights The Regents expressly reserves the right to use Regents' Patent Rights and associated technology for educational, research and non-commercial clinical purposes, including sharing tangible research results with other non-profit institutions for their use of similar scope.
4. Sponsorship Obligations The parties agree that with the assignment of patent rights, Caltech also accepts transfer of sponsorship obligations on each of the subject inventions and agrees to be bound by and comply with such obligations. Although Caltech may license the Regents' Patent Rights within its discretion, Caltech will not assign its rights to another entity.
5. Disclaimers This agreement does not confer by implication, estoppel, or otherwise any license or rights under any patents of The Regents other than Regents Patent Rights as defined herein, regardless of whether those patents are dominant or subordinate to Regents Patent Rights, or any right to use in advertising, publicity, or other promotional activities any name, trademark, or other designation of The Regents. Unless required by law, the use by Caltech or any licensee or sublicensee of the name "The Regents of the University of California" or the name of any campus of the University of California is prohibited.

**THE REGENTS OF THE UNIVERSITY OF CALIFORNIA**

  
Name: Emily Loughran  
Title: UCLA Director of Licensing

Date

10.21.03

**THE CALIFORNIA INSTITUTE OF TECHNOLOGY**

  
Name: Lawrence Gilbert  
Title: Director, Technology Transfer

Date

10/20/03

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY  
and  
CORRESPONDENCE  
ADDRESS****INDICATION FORM**

Application Number	
Filing Date	
First Named Inventor	James R. Heath
Title	Method For Lithographic Processing On Molecular Monolayer And Multilayer Thin Films
Art Unit	2818
Examiner Name	Thao P. Le
Atty Docket Number	0175.0007

I hereby appoint

<input type="checkbox"/>	Practitioner	at Customer Number			
<b>OR</b>					
<input checked="" type="checkbox"/>	Practitioner	named below:			
			Name	Registration Number	
			David J. Oldenkamp	29,421	

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

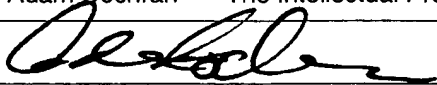
Please recognize or change the correspondence address for the above-identified application to:

<input type="checkbox"/>	Practitioners	at Customer Number			
<b>OR</b>					
<input type="checkbox"/>	Practitioner(s)	named below:			
		Firm or Individual Name	David J. Oldenkamp, Esq.		
		Address	Shapiro & Dupont LLP		
		Address	233 Wilshire Boulevard, Suite 700		
		City	Santa Monica	State	California
		Country	US		
		Telephone	(310) 319-5400	Fax	(310) 319-5401

I am ☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

Name	Adam Cochran The Intellectual Property Counsel California Institute of Technology		
Signature			
Date	02 March 2004	Telephone	626 395 4567

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

\*Total of 2 forms are submitted.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 2313-1450.



Under the Paper Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: James R. Heath et al.

Application No./Patent No.: \_\_\_\_\_ Filed/Issue Date: \_\_\_\_\_

Entitled: METHOD FOR LITHOGRAPHIC PROCESSINGON MOLECULAR MONOLAYER AND MULTILAYERTHIN FILMSCalifornia Institute of Technology, a \_\_\_\_\_ university

(Name of assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- ☒ 1. the assignee of the entire right, title, and interest; or  
☐ 2. an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: James R. Heath; Yi Luo; Erica Delonno \_\_\_\_\_ To: The Regents of the University of California The document was recorded in the Patent and Trademark Office at Reel 012642, Frame 0176, or for which a copy thereof is attached.

2. From: The Regents of the University of California To: California Institute of Technology  
The document was recorded in the Patent and Trademark Office at Reel 014410 Frame 0871  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Date 02 March 2004Telephone 626 395 4567Typed or printed name Adam CochranSignature Title The Intellectual Property Counsel